



## IAPD Report

# JOHN MICHAEL HOLIAN

CRD# 2152931

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Please contact FINRA with any concerns.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### JOHN MICHAEL HOLIAN (CRD# 2152931)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **01/13/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	LPL FINANCIAL LLC	CRD# 6413	11/29/2017
<b>IA</b>	LPL FINANCIAL LLC	CRD# 6413	01/03/2018

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>IA</b>	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	29604	MIAMI, FL	06/06/2000 - 12/06/2017
<b>B</b>	NATIONAL PLANNING CORPORATION	29604	MIAMI, FL	06/06/2000 - 11/29/2017
<b>B</b>	AXA ADVISORS, LLC	6627	NEW YORK, NY	06/17/1991 - 01/18/2001

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Criminal	1



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with 7 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**  
Main Address: 1055 LPL WAY  
FORT MILL, SC 29715  
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	11/29/2017
B	FINRA	Investment Co./Variable Contracts Prin	Approved	11/29/2017
B	FINRA	Municipal Fund	Approved	11/29/2017
B	California	Agent	Approved	12/13/2021
B	Florida	Agent	Approved	01/03/2018
IA	Florida	Investment Adviser Representative	Approved	01/14/2026
B	Georgia	Agent	Approved	11/20/2025
B	Michigan	Agent	Approved	09/11/2019
B	New Jersey	Agent	Approved	11/29/2017
B	New York	Agent	Approved	11/29/2017
B	Texas	Agent	Approved	11/29/2017
IA	Texas	Investment Adviser Representative	Restricted Approval	04/07/2021

### Branch Office Locations



## Qualifications

**LPL FINANCIAL LLC**  
6303 BLUE LAGOON DR STE 188  
MIAMI, FL 33126





## Qualifications

### PASSED INDUSTRY EXAMS



This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 2 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

Exam	Category	Date
 Municipal Fund Securities Principal Examination (S51)	Series 51	03/26/2003
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	03/28/1996

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/13/1991

#### State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/15/2003
 Uniform Investment Adviser Law Examination (S65)	Series 65	09/19/1999

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	06/06/2000 - 12/06/2017	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	MIAMI, FL
B	06/06/2000 - 11/29/2017	NATIONAL PLANNING CORPORATION	CRD# 29604	MIAMI, FL
B	06/17/1991 - 01/18/2001	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	06/17/1991 - 01/05/2000	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2017 - Present	LPL FINANCIAL LLC	Registered Representative	Y	MIAMI, FL, United States
05/2000 - 11/2017	NATIONAL PLANNING CORPORATION	REG REP	Y	MIAMI, FL, United States

### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

1. 11/29/2017 - GRIFFIN PLANNING - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Owner - Start Date 10/15/2008 - 5 Hours Per Month/5 During Securities Trading.
2. 01/31/2018 - Griffin Planning - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date 12/03/2014 - 160 Hours Per Month/160 Hours During Securities Trading.



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
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Criminal	1
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### Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Formal Charges were brought in:</b>	State Court
<b>Name of Court:</b>	Office of the Prosecutor County of Union
<b>Location of Court:</b>	Elizabeth NJ
<b>Docket/Case #:</b>	17-003016
<b>Charge Date:</b>	10/02/2017
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	2C:39-3 Prohibited weapons and devices E. -Certain weapons. Any person who knowingly has in his possession any gravity knife, switchblade knife, dagger, dirk, stiletto, billy, blackjack, metal knuckle, sandclub, slingshot, cestus or similar leather band studded with metal fillings or razor blades imbedded in wood, ballistic knife, without any explainable lawful purpose, is guilty of a crime of the fourth degree.
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	Not Guilty
<b>Disposition of charge:</b>	Dismissed
<b>Current Status:</b>	Final
<b>Status Date:</b>	10/18/2017
<b>Disposition Date:</b>	10/18/2017
<b>Sentence/Penalty:</b>	Administratively Dismissed on October 18,2017. No monetary penalty/fine.



<b>Reporting Source:</b>	Individual
<b>Formal Charges were brought in:</b>	State Court
<b>Name of Court:</b>	Office of the Prosecutor County of Union
<b>Location of Court:</b>	Elizabeth, New Jersey
<b>Docket/Case #:</b>	17-003016
<b>Charge Date:</b>	10/02/2017
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	2C:39-3 Prohibited weapons and devices E. -Certain weapons. Any person who knowingly has in his possession any gravity knife, switchblade knife, dagger, dirk, stiletto, billy, blackjack, metal knuckle, sandclub, slingshot, cestus or similar leather band studded with metal filings or razor blades imbedded in wood, ballistic knife, without any explainable lawful purpose, is guilty of a crime of the fourth degree.
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	Not Guilty
<b>Disposition of charge:</b>	Dismissed
<b>Current Status:</b>	Final
<b>Status Date:</b>	10/18/2017
<b>Disposition Date:</b>	10/18/2017
<b>Sentence/Penalty:</b>	Administratively Dismissed on October 18,2017. No monetary penalty/fine.
<b>Broker Statement</b>	<p>On Friday, September 29, 2017, Mr. Holian attended an outdoor family wedding held in the Watchung Reservation in Berkeley Heights, New Jersey on property owned by Union County. He and his family had traveled by air from his hometown in Coral Gables, Florida to attend his niece's wedding. Over the course of the weekend following the wedding, he assisted various family members in taking down decorations that were provided with the leasing of the property. One of the other family members loaned him a knife in order to cut down balloons and other decorations. Mr. Holian utilized the subject knife to remove the decorations on the property where the wedding was held. When Mr. Holian completed removing the decorations, he placed the subject knife in his pants pocket and simply forgot to return it to the owner. Thereafter when he traveled to the airport to return to Florida with his wife, Mr. Holian realized he was still in possession of the knife as he approached the TSA screening area and removed it from his pocket and turned it over to the TSA representative.</p> <p>It is our position by way of an affirmative defense to the charge of a violation of N.J.S.A. 2C:39-3(e) that while clearly Mr. Holian was technically in possession of the knife, he had what the statute refers to as "an explainable lawful purpose" for his possession of it. Furthermore, he had totally forgotten he had the knife in his possession, another defense to the subject charge pursuant to N.J.S.A. 2C:2-4, et seq. Mr. Holian's decision to voluntarily turn the knife over to the TSA representative is further evidence of his good faith in that regard.</p>



## End of Report

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